

10/27/00  
JC931 U.S. PTO

10-30-00  
UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Rene S. Hubert, Arthur B. Raitano, Daniel E.H. Afar, Steve Chappell Mitchell, Mary Faris, and Aya Jakobovits  
Docket: G&C 129.23-US-U1  
Title: DIAGNOSIS AND THERAPY OF CANCER USING SGP28-RELATED MOLECULES

JC926 U.S. PTO  
09/698781  
10/27/00

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

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I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: *[Signature]*

Name: Suzie J. McCleave

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- 09/698781-10/27/00
- ☒ Transmittal sheet, in duplicate, containing Certificate Of Mailing Under 37 CFR 1.10.
  - ☒ Utility Patent Application: Spec. 77 pgs; 38 claims; Abstract 1 pg(s).  
The fee has been calculated as shown below in the "Claims as Filed" table.
  - ☒ 10 sheets of Drawings
  - ☒ Copy of Verified Statement to establish small entity status as filed in priority application number 60/162,610
  - ☒ An unsigned Combined Declaration and Power of Attorney
  - ☒ PTO-2038 Credit Card Payment Form for the amount of \$877.00 to cover the Filing Fee
  - ☒ Computer readable and paper form of SEQUENCE LISTING. Applicants state that the contents of the paper copy form of the SEQUENCE LISTING section of the present application, and the computer readable form submitted herewith, are the same.
  - ☒ Return postcard

CLAIMS AS FILED

Number of Claims Filed	In Excess of:	Number Extra	Rate	Fee
Basic Filing Fee				\$355.00
Total Claims				
38	20	18	x \$9.00	= \$162.00
Independent Claims				
12	3	9	x \$40.00	= \$360.00
MULTIPLE DEPENDENT CLAIM FEE				\$0.00
TOTAL FILING FEE				\$877.00

Please charge all fees to Deposit Account No. 50-0494. A duplicate of this sheet is enclosed.

Customer Number 22462.

**GATES & COOPER**  
Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, CA 90045  
(310) 641-8797

By: *[Signature]*

Name: Karen S. Canady  
Reg. No.: 39,927  
Initials: KSC/sjm

(PTO TRANSMITTAL - NEW FILING)

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

**Applicant:** Afar, Daniel et al.  
**Title:** DIAGNOSIS AND THERAPY OF PROSTATE CANCER  
USING SGP28 AS TARGET  
**Application No.** Not Yet Assigned  
**Filed:** Concurrent Herewith

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

UroGenesys, Inc.  
1701 Colorado Avenue  
Santa Monica, CA

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR 1.21.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Tracy M. Dolan

TITLE OF PERSON IF OTHER THAN OWNER:

Assistant Corporate Secretary

ADDRESS OF PERSON SIGNING:

UroGenesys, Inc.  
1701 Colorado Avenue  
Santa Monica, CA

SIGNATURE

*Tracy M. Dolan*

DATE

10.28.99